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APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
09/990,427	11/14/2001	David Botstein	P2730PIC10	4110

35489 7590 11/05/2007  
HELLER EHRMAN LLP  
275 MIDDLEFIELD ROAD  
MENLO PARK, CA 94025-3506

EXAMINER
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CHERNYSHEV, OLGA N

ART UNIT	PAPER NUMBER
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1649

MAIL DATE	DELIVERY MODE
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11/05/2007

PAPER

**Please find below and/or attached an Office communication concerning this application or proceeding.**

The time period for reply, if any, is set in the attached communication.

<b>Office Action Summary</b>	<b>Application No.</b> 09/990,427	<b>Applicant(s)</b> BOTSTEIN ET AL.	
	<b>Examiner</b> Olga N. Chernyshev	<b>Art Unit</b> 1649	

-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --

#### Period for Reply

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) OR THIRTY (30) DAYS, WHICHEVER IS LONGER, FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133). Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

#### Status

- 1) ☒ Responsive to communication(s) filed on 06 September 2007.
- 2a) ☒ This action is **FINAL**.                      2b) ☐ This action is non-final.
- 3) ☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

#### Disposition of Claims

- 4) ☒ Claim(s) 119-123 is/are pending in the application.
- 4a) Of the above claim(s) \_\_\_\_\_ is/are withdrawn from consideration.
- 5) ☐ Claim(s) \_\_\_\_\_ is/are allowed.
- 6) ☒ Claim(s) 119-123 is/are rejected.
- 7) ☐ Claim(s) \_\_\_\_\_ is/are objected to.
- 8) ☐ Claim(s) \_\_\_\_\_ are subject to restriction and/or election requirement.

#### Application Papers

- 9) ☐ The specification is objected to by the Examiner.
- 10) ☐ The drawing(s) filed on \_\_\_\_\_ is/are: a) ☐ accepted or b) ☐ objected to by the Examiner.  
Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).  
Replacement drawing sheet(s) including the correction is required if the drawing(s) is objected to. See 37 CFR 1.121(d).
- 11) ☐ The oath or declaration is objected to by the Examiner. Note the attached Office Action or form PTO-152.

#### Priority under 35 U.S.C. § 119

- 12) ☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).
- a) ☐ All    b) ☐ Some \* c) ☐ None of:
1. ☐ Certified copies of the priority documents have been received.
  2. ☐ Certified copies of the priority documents have been received in Application No. \_\_\_\_\_.
  3. ☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).
- \* See the attached detailed Office action for a list of the certified copies not received.

#### Attachment(s)

- |  |   |
|--|---|
| 1) <input checked="" type="checkbox"/> Notice of References Cited (PTO-892)                                | 4) <input type="checkbox"/> Interview Summary (PTO-413)<br>Paper No(s)/Mail Date. _____ |
| 2) <input type="checkbox"/> Notice of Draftsperson's Patent Drawing Review (PTO-948)                       | 5) <input type="checkbox"/> Notice of Informal Patent Application                       |
| 3) <input type="checkbox"/> Information Disclosure Statement(s) (PTO/SB/08)<br>Paper No(s)/Mail Date _____ | 6) <input type="checkbox"/> Other: _____  |

## DETAILED ACTION

### *Status of Application, Amendments, And/Or Claims*

The appeal brief of September 06, 2007 has been received and considered. Upon further consideration, finality of the previous Office Action (mailed February 13, 2007) is *withdrawn* solely to clarify the issues for appeal, and to provide Applicant with an opportunity to respond accordingly.

### *35 U.S.C. §§ 101 and 112, First Paragraph - Utility*

35 U.S.C. 101 reads as follows:

Whoever invents or discovers any new and useful process, machine, manufacture, or composition of matter, or any new and useful improvement thereof, may obtain a patent therefor, subject to the conditions and requirements of this title.

The following is a quotation of the first paragraph of 35 U.S.C. 112:

The specification shall contain a written description of the invention, and of the manner and process of making and using it, in such full, clear, concise, and exact terms as to enable any person skilled in the art to which it pertains, or with which it is most nearly connected, to make and use the same and shall set forth the best mode contemplated by the inventor of carrying out his invention.

Claims 119-123 are rejected under 35 U.S.C. 101 because the claimed invention is not supported by either a credible, specific, and substantial asserted utility or a well established utility.

Claims 119-123 are also rejected under 35 U.S.C. 112, first paragraph. Specifically, since the claimed invention is not supported by either a credible, specific, and substantial asserted utility or a well established utility for the reasons set forth above, one skilled in the art clearly would not know how to use the claimed invention.

In the interest of clarity, the following additional supporting evidence is set forth below:

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The claims are directed to antibodies that specifically bind to the polypeptide of SEQ ID NO: 175. The specification discloses the polypeptide of SEQ ID NO: 175, also known as PRO830. Applicants have gone on record as relying upon the gene amplification assay as providing utility and enablement for the instant polypeptides, which supports the utility of the instant claimed antibodies. See Appeal Brief (received September 06, 2007), p. 5, beginning of arguments.

There are several problems with the data provided in the specification, as filed. First, as pointed by the Examiner in the previous office actions of record, the instant specification fails to provide any evidence or reasonable explanation as why one skilled in the art would consider a DNA, which is slightly amplified (1.13 to 1.35-fold) only in 35% of samples of cancerous lung tissue and not changed in 65% of cases, to be useful as a marker for lung cancer. The Examiner maintains the position that based on the information provided, one would reasonably conclude that the instant disclosed DNA could not possibly serve as a cancer marker because it would more likely than not (65% as compared to 35% cases) fail to identify lung cancer cells. Consequently, if PRO830 DNA was not changed in 65% of reported samples, there appears to be no need to predict the levels of PRO830 protein in cancerous tissue, which are diagnostic of cancer.

Second, even if the data had been corrected for aneuploidy and a proper control had been used, the data related to DNA have no bearing on the utility of the PRO830 *polypeptide* and consequently on the utility of the instant claimed PRO830 *antibodies*. In order for PRO830 polypeptides to be overexpressed in tumors, amplified genomic DNA would have to correlate with increased mRNA levels and increased polypeptide levels. No data regarding PRO830

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mRNA or PRO830 polypeptide levels in lung tumors have been brought forth on the record. The art discloses that a correlation between genomic DNA levels and mRNA levels cannot be presumed, nor can any correlation between genomic DNA levels and polypeptide levels. A specific example of the lack of correlation between genomic DNA amplification and increased mRNA expression is provided by Pennica et al. (1998, PNAS USA 95:14717-14722), who disclose that:

“An analysis of *WISP*-1 gene amplification and expression in human colon tumors showed a correlation between DNA amplification and overexpression, whereas overexpression of *WISP*-3 RNA was seen in the absence of DNA amplification. In contrast, *WISP*-2 DNA was amplified in the colon tumors, but its mRNA expression was significantly reduced in the majority of tumors compared with the expression in normal colonic mucosa from the same patient.”

See p. 14722, second paragraph of left column; pp. 14720-14721, “Amplification and Aberrant Expression of *WISPs* in Human Colon Tumors.” Another specific example is provided by Konopka et al. (Proc. Natl. Acad. Sci. (1986) 83:4049-4052), who state that “Protein expression is not related to amplification of the *abl* gene but to variation in the level of *bcr-abl* mRNA produced from a single Ph1 template” (see abstract).

The *general* concept of gene amplification's lack of correlation with mRNA/protein overexpression in cancer tissue is addressed by Sen (2000, Curr. Opin. Oncol. 12:82-88). Specifically, Sen teaches that cancerous tissue is known to be aneuploid, that is, having an abnormal number of chromosomes. A slight amplification of a gene does not necessarily correlate with overexpression in a cancer tissue, but can merely be an indication that the cancer tissue is aneuploid. Hittelman (2001, Ann. N. Y. Acad. Sci. 952:1-12) also speaks to this issue. Publication of Hittelman et al. also specifically addresses the issue that lung epithelium is at risk

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for cellular damage due to direct exposure to environmental pollutants and carcinogens, which result in aneuploidy **before** the epithelial cells turn cancerous. Hittelman publication discloses that damaged, precancerous lung epithelium is often aneuploid, see especially p. 4, Figure 4.

The gene amplification assay in the instant specification does not provide a comparison between the lung tumor samples and normal lung epithelium and does not correct for aneuploidy. Thus it is not clear that PRO830 is amplified in cancerous lung epithelium more than in damaged (non-cancerous) lung epithelium. One skilled in the art would not conclude that PRO830 is a diagnostic probe for lung cancer unless it is clear that PRO830 is amplified to a clearly greater extent in true lung tumor tissue relative to non-cancerous lung epithelium. Again, the data in the specification were not corrected for such aneuploidy events.

Furthermore, Godbout et al. (1998, J. Biol. Chem. 273(33):21161-8) teach a general lack of correlation between gene amplification and mRNA/protein overexpression. The abstract of Godbout teaches "The DEAD box gene, DDX1, is a putative RNA helicase that is co-amplified with MYCN in a subset of retinoblastoma (RB) and neuroblastoma (NB) tumors and cell lines. *Although gene amplification usually involves hundreds to thousands of kilobase pairs of DNA, a number of studies suggest that co-amplified genes are only overexpressed if they provide a selective advantage to the cells in which they are amplified.*" (emphasis added). The protein encoded by the DDX gene *had been characterized* as being a putative RNA helicase, a type of enzyme that *would be expected to confer a selective advantage* to the cells in which it (the DDX gene) was amplified. On page 21167, right column, first full paragraph, Godbout et al. state "*It is generally accepted that co-amplified genes are not over-expressed unless they provide a selective growth advantage to the cell* (48, 49). For example, although ERBA is

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closely linked to ERBB2 in breast cancer and both genes are commonly amplified in these tumors, ERBA is not overexpressed (48). Similarly, three genes mapping to 12q13-14 (CDK4, SAS and MDM2) are overexpressed in a high percentage of malignant gliomas showing amplification of this chromosomal region, while other genes mapping to this region (GADD153, GL1, and A2MR) are rarely overexpressed in gene-amplified malignant gliomas (50, 51). The first three genes are probably the main targets of the amplification process, while the latter three genes are probably incidentally included in the amplicons.” (emphasis added). There is no evidence in the instant application that PRO830 confers any growth advantage to a cell, and thus it cannot be presumed that the protein is overexpressed because the genomic DNA including the gene being studied gene is amplified.

An additional reference that provides evidence that gene amplification does not generally lead to increased transcript is Li et al. (2006, Oncogene, Vol. 25, pages 2628-2635). Li et al. used a functional approach that integrated simultaneous genomic and transcript microarray, proteomics, and tissue microarray analyses to directly identify putative oncogenes in lung adenocarcinoma. On page 2633, right column, Li et al. state: “*In our study, 68.8% of the genes showing over-representation in the genome did not show elevated transcript levels*, implying that at least some of these genes are 'passenger' genes that are concurrently amplified because of their location with respect to amplicons but *lack biological relevance in terms of the development of lung adenocarcinoma.*” Since more than half of the amplified genes were not overexpressed, Li et al. constitutes strong evidence that *it is more likely than not that gene amplification does NOT correlate with increased protein levels*, absent evidence that the protein has biological relevance in cancer. There is no such evidence for PRO830.

Therefore, data pertaining to PRO830 genomic DNA do not indicate anything significant regarding the instant PRO830 polypeptides. The data do not support the specification's assertion that anti-PRO830 antibodies can be used as cancer diagnostic agents. Significant further research would have been required of the skilled artisan to reasonably confirm that PRO830 polypeptides are overexpressed in any cancer to the extent that the antibodies could be used as cancer diagnostic agents, and thus the asserted utility is not substantial. In the absence of information regarding whether or not PRO830 polypeptide levels are also different between specific cancerous and normal tissues, the proposed use of anti-PRO830 **antibodies** as diagnostic markers and therapeutic targets are simply starting points for further research and investigation into potential practical uses of the polypeptides. See *Brenner v. Manson*, 148 U.S.P.Q. 689 (Sup. Ct., 1966), wherein the court held that:

"The basic quid pro quo contemplated by the Constitution and the Congress for granting a patent monopoly is the benefit derived by the public from an invention with substantial utility", "[u]nless and until a process is refined and developed to this point-where specific benefit exists in currently available form-there is insufficient justification for permitting an applicant to engross what may prove to be a broad field", and "a patent is not a hunting license", "[i]t is not a reward for the search, but compensation for its successful conclusion."

In view of the preponderance of evidence supporting the rejections (Pennica et al., Konopka et al., Sen, Hittelman, Godbout et al., and Li et al., all of which are now of record), the rejections are properly maintained.

### ***Conclusion***

No claims are allowed.



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**No new rejections have been made. THUS, THIS ACTION IS MADE FINAL.**

However, since new publications have been cited to support the maintained rejections, Applicant is assured that any new evidence specifically addressing Pennica et al., Konopka et al., Sen, Hittelman, Godbout et al., and Li et al. will be entered after final and given full consideration. Applicant is reminded of the extension of time policy as set forth in 37 CFR 1.136(a).

Any inquiry concerning this communication or earlier communications from the examiner should be directed to Olga N. Chernyshev whose telephone number is (571) 272-0870. The examiner can normally be reached on 8:00 AM to 5:00 PM.

If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Christina Y. Chan can be reached on (571) 272-0841. The fax phone number for the organization where this application or proceeding is assigned is 571-273-8300.

Information regarding the status of an application may be obtained from the Patent Application Information Retrieval (PAIR) system. Status information for published applications may be obtained from either Private PAIR or Public PAIR. Status information for unpublished applications is available through Private PAIR only. For more information about the PAIR system, see <http://pair-direct.uspto.gov>. Should you have questions on access to the Private PAIR system, contact the Electronic Business Center (EBC) at 866-217-9197 (toll-free). If you would like assistance from a USPTO Customer Service Representative or access to the automated information system, call 800-786-9199 (IN USA OR CANADA) or 571-272-1000.

  
Olga N. Chernyshev, Ph.D.  
Primary Examiner  
Art Unit 1649

October 31, 2007